

HAND
DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES
2013 FINANCIAL DISCLOSURE STATEMENT

Form A
For Use by Members, Officers, and Employees

LEGISLATIVE RESOURCE CENTER of 10

2014 MAY 15 AM 11:29

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Name: Michael Davis Rogers Daytime Telephone: 202-225-3261

ML

(Office Use Only)

FILER
STATUS

☒ Member of or Candidate for
U.S. House of Representatives

State: AL
District: 3

☐

Officer or
Employee

Employing Office:

REPORT
TYPE

☒ 2013 Annual (Due: May 15, 2014)

☐

Amendment

☐

Termination Date:

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

A. Did you, your spouse, or your dependent child:

a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or

b. Make more than \$200 in unearned income from any reportable asset during the reporting period?

Yes ☒ No ☐

F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?

Yes ☒ No ☐

B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?

Yes ☐ No ☒

G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$350 in value from a single source during the reporting period?

Yes ☐ No ☒

C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?

Yes ☒ No ☐

H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$350 in value from a single source during the reporting period?

Yes ☐ No ☒

D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?

Yes ☐ No ☒

I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?

Yes ☐ No ☒

E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?

Yes ☐ No ☒

ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"

IPO, EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.

Yes ☐ No ☒

TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child?

Yes ☐ No ☒

EXEMPTION - Have you excluded them from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

Yes ☐ No ☒

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Michael Davis Rogers

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used.		A	B	C	D	E	F	G	H	I	J	K	L	M	None	DIVIDENDS	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	Leave this column blank if there are no transactions that exceeded \$1,000.	
Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used.		\$0-\$1,000	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*	None	DIVIDENDS	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	\$0-\$1,000	\$1,001-\$2,000	\$2,001-\$5,000	\$5,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	Over \$5,000,000	Spouse/DC Asset with Income over \$1,000,000*	Leave this column blank if there are no transactions that exceeded \$1,000.	
Example: ABC Hedge Fund	X				X																												
Venture Partners																																	
41% ownership of																																	
(1) 304 Squirrel Avenue																																	
(2) 1210 Squirrel Avenue																																	
(3) 1212 S. 17th Avenue																																	
Avery Ave S & 6th St																																	
Oxford, Alabama																																	
Buy Low																																	
60 months Plan																																	

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Michael Dennis Rogers

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction	
SP, DC, JT, JT(S), JT(D), JT(S/D)	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	None	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	NONE	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, S(part), or E
	Notes Receivable for Retirement System of ALA																																	
	Noble Bank - Stock																																	
	Southern Co. - Stock																																	
	Cherokee Bank - Stock																																	
	Black Rock College Advancement																																	
	Capital Development LLC																																	
	20% member																																	
	Tactical Investments LLC																																	
	50% owner																																	
	01/26 Snow St. owned by ALA																																	
	01/26 McCallum, owned by ALA																																	
	01/26 Oxford Ave. Finance Inc.																																	
	ALA. Draydon Tuition 4.5%																																	
	ALA. Draydon Tuition 2.5% cash																																	
	ALA. Draydon Tuition 3.0%																																	
	ALA. Draydon Tuition 3.0%																																	

529 - Savings Plan

Sole asset is 800 acres of land in the 6400 Block of Saks Road, Anniston AL 36606

ALA Life Ins. Whole Life

ALA Life Ins. Whole Life

Withdrawal

Withdrawal

Withdrawal

SCHEDULE A - ASSETS & "UNEARNED INCOME"

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	None	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	P, S, S(part), or E	
	None																																				
	SP USB Paine Weber Fund	X																					X														S
	Trust self directed																																				
	Underlying Assets:																																				
	→ Hartford Capital Appreciation																																				S
	Fund class A																																				
	→ Hartford Capital Total																																				S
	→ Return Bond Fund class A																																				S
	→ Hartford Dividend																																				S
	Growth Fund class A																																				

SCHEDULE B - TRANSACTIONS

Name:

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Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent child, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please check "partial sale" as the type of transaction.		Type of Transaction				Date	Amount of Transaction											
SP, DC, JT	Asset	Purchase	Sale	Partial Sale	Exchange	Check Box if Capital Gain Exceeded \$200	ADD/MY or CARRY-OVER, if applicable	A \$1,001-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000	K Over \$1,000,000 (Spouse's Asset)
SP	USG Paine Webber YOLK		X			X	2/1/13											
	* not self directed																	
	Underlying Assets:																	
	- Hartford Capital Appreciation Fund CLASS A		X				2/1/13		X									
	- Hartford Capital Total Return Bond Fund CLASS A		X				2/1/13		X									
	- Hartford Dividend and Growth Fund CLASS A		X				2/1/13		X									

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[illegible]

SCHEDULE D - LIABILITIES

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. Members: Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless you next it out or are a member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of reporting period exceeded \$10,000. *Column K is for liabilities held solely by your spouse or dependent child.

SP or CC, if	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A	B	C	D	E	F	G	H	I	J	K
				\$10,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Over \$1,000,000 (Report in Part III)
Example	First Bank of Wilmington, DE	5/06	Mortgage on Rental Property, Dover, DE				X							
JT	Compass Bank Mtg.	June 2007	Mtg. on Primary Residence in Dover, DE						X					
JT	Wells Fargo Home Mtg.	March 2003	Mtg. on 2nd personal Residence, Washington, DC					X						
JT	Wells Fargo Home Mtg.	March 2003	Equity line on 2nd Residence				X							

SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude: Positions listed in Schedule C; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Member - the Manager	Ventura Properties, LLC
Member - the Manager	Initial Investments, LLC
Member	Capital Development, LLC
Uncompensated	

SCHEDULE F - AGREEMENTS

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Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties to Agreement	Terms of Agreement
3-30-09	Mike Rogers, Avery Auto Sales, Inc	Life of 50% Ownership of Dealership to be paid over 5 years
3-30-08	Beth Rogers, (spouse) Oxford Auto Finance, Inc.	Sale of 50% Ownership of Oxford Auto Finance Inc to be paid over 5 years.

SCHEDULE G - GIFTS

Report the source (including name, city, and state), a brief description, and the value of all gifts totaling more than \$350 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality from an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$140 or less need not be added towards the \$350 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph Smith, Arlington, VA	Silver Platter (determination of personal friendship received from the Ethics Committee)	\$400
None		

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EXCLUSION: Privately-sponsored travel approved by the Ethics Committee, if post-travel disclosure was filed with the Clerk; travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

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List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of paying an honorarium to you. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.

[illegible]